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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

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Sheet 1 of 1

Complete if Known

Application Number	10/730,360
Filing Date	09 December 2003
First Named Inventor	BALABON, Sam
Group Art Unit	3624
Examiner Name	Alpert, James. M.
Attorney Docket Number	12664-1

U.S. PATENT DOCUMENTS

Examiner Initials *	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
		5,689,652		LUPIEN et al.	11-18-1997	

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ³
		"Researchers Study the Cost of Conducting Trades in Financial Markets", Stanford Business School, March 1995, http://www.gsb.stanford.edu/research/faculty/news_releases/peter.reiss/werner.htm (printed Nov. 3, 2003)	
		Ljungqvist, Alexander P. et al., "Hot Markets, Investor Sentiment, and IPO Pricing", November 6, 2003, AFA 2004 San Diego Meetings; Twelfth Annual Utah Winter Finance Conference; Texas Finance Festival; posted November 2, 2003 at http://papers.ssrn.com/sol3/papers.cfm?abstract_id=282293	
		Brown, David P. et al., "Adjustable Limit Orders", March 15, 2002, posted June 1, 2000 at http://www.kelley.iu.edu/Finance/wp3.htm	
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07/09/2005

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¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Applicant is to place a check mark here if English language Translation is attached.

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